INTERNATIONAL STANDARD

ISO 22095

First edition
2020-10

Chain of custody — General terminology and models

Chaîne de contrôle — Terminologie générale et modèles

iTeh Standards
(https://standards.iteh.ai)
Document Preview

ISO 22095:2020
https://standards.iteh.ai/catalog/standards/iso/34b88eb9-49a3-40a7-a59e-28edfe859580/iso-22095-2020

Reference number
ISO 22095:2020(E)

© ISO 2020

iTeh Standards
(https://standards.iteh.ai)
Document Preview

ISO 22095:2020
https://standards.iteh.ai/catalog/standards/iso/34b88eb9-49a3-40a7-a59e-28edfe859580/iso-22095-2020

COPYRIGHT PROTECTED DOCUMENT

© ISO 2020

All rights reserved. Unless otherwise specified, or required in the context of its implementation, no part of this publication may be reproduced or utilized otherwise in any form or by any means, electronic or mechanical, including photocopying, or posting on the internet or an intranet, without prior written permission. Permission can be requested from either ISO at the address below or ISO's member body in the country of the requester.

ISO copyright office
CP 401 • Ch. de Blandonnet 8
CH-1214 Vernier, Geneva
Phone: +41 22 749 01 11
Email: copyright@iso.org
Website: www.iso.org

Published in Switzerland

 © ISO 2020 – All rights reserved

Contents

Page

Foreword ... **iv**
Introduction ... **v**
1 Scope ... **1**
2 Normative references ... **1**
3 Terms and definitions ... **1**
3.1 Terms related to chain of custody design ... 1
3.2 Terms related to supply chain ... 2
3.3 Terms related to chain of custody models ... 3
3.4 Terms related to roles and responsibilities ... 4
3.5 Terms related to conformity assessment ... 5
3.6 Terms related to traceability ... 6
4 Chain of custody design ... **6**
4.1 General ... 6
4.2 Roles and responsibilities ... 7
4.3 Properties of chain of custody models ... 7
5 Chain of custody models ... **9**
5.1 Principles and requirements ... 9
5.2 Appropriate use of chain of custody models ... 10
5.3 Chain of custody models without mixing ... 11
5.3.1 Identity preserved model ... 11
5.3.2 Segregated model ... 12
5.4 Chain of custody models with mixing ... 14
5.4.1 Controlled blending model ... 14
5.4.2 Mass balance model ... 15
5.5 Book and claim model ... 17
6 General requirements for organizations active in a chain of custody ... **18**
6.1 General ... 18
6.2 General requirements for implementation ... 18
6.3 Top management responsibility ... 19
6.4 Competence ... 19
6.5 Evaluating performance and dealing with non-conformities ... 19
6.6 Documented information ... 20
6.6.1 General ... 20
6.6.2 Control of documented information ... 21
6.7 Assurance ... 21
6.8 Conversion factor ... 22
6.9 Inventory balancing ... 22
6.10 Complaints procedure ... 22
6.11 Outsourcing ... 23
6.12 Communication ... 23
Annex A (informative) **Traceability and chain of custody** ... **24**
Annex B (informative) **Practical examples for using chain of custody models** ... **25**
Annex C (normative) **Mass balance implementation** ... **30**
Bibliography ... **32**

iTeh Standards
(https://standards.iteh.ai)
Document Preview
ISO 22095:2020
https://standards.iteh.ai/catalog/standards/sist/34a588eb-d9a3-40a7-a59e-28edfe859580/iso-22095-2020

© ISO 2020 – All rights reserved

Foreword

ISO (the International Organization for Standardization) is a worldwide federation of national standards bodies (ISO member bodies). The work of preparing International Standards is normally carried out through ISO technical committees. Each member body interested in a subject for which a technical committee has been established has the right to be represented on that committee. International organizations, governmental and non-governmental, in liaison with ISO, also take part in the work. ISO collaborates closely with the International Electrotechnical Commission (IEC) on all matters of electrotechnical standardization.

The procedures used to develop this document and those intended for its further maintenance are described in the ISO/IEC Directives, Part 1. In particular, the different approval criteria needed for the different types of ISO documents should be noted. This document was drafted in accordance with the editorial rules of the ISO/IEC Directives, Part 2 (see www.iso.org/directives).

Attention is drawn to the possibility that some of the elements of this document may be the subject of patent rights. ISO shall not be held responsible for identifying any or all such patent rights. Details of any patent rights identified during the development of the document will be in the Introduction and/or on the ISO list of patent declarations received (see www.iso.org/patents).

Any trade name used in this document is information given for the convenience of users and does not constitute an endorsement.

For an explanation of the voluntary nature of standards, the meaning of ISO specific terms and expressions related to conformity assessment, as well as information about ISO's adherence to the World Trade Organization (WTO) principles in the Technical Barriers to Trade (TBT), see www.iso.org/iso/foreword.html.

iTeh Standards
(https://standards.iteh.ai)
Document Preview

This document was prepared by Project Committee ISO/PC 308, *Chain of custody — General terminology and models*.

Any feedback or questions on this document should be directed to the user's national standards body. A complete listing of these bodies can be found at www.iso.org/members.html.

ISO 22095:2020
https://standards.iteh.ai/catalog/standards/iso/34b88eb9-49a3-40a7-a59e-28edfe859580/iso-22095-2020

 © ISO 2020 – All rights reserved

Introduction

Understanding the origin of input materials, product components, product outputs and the conditions under which they are produced is becoming increasingly important. Manufacturers want to demonstrate compliance with requirements regarding health and safety, as well as environmental, social and quality-related aspects, while consumers or other end users need to be able to trust the claims made for these products. The main drivers are government policies, consumer and business demand. Companies directly active in a chain of custody (e.g. manufacturers, traders, logistic and transport service providers, retailers) as well as those investing in such companies (e.g. financial institutions, governments) need transparency to understand and manage risks, to secure quality and to facilitate the implementation of a reliable chain of custody system.

Chain of custody systems have become an indispensable element of many different applications, such as certification schemes for food safety, sustainable agriculture, forestry, aquaculture or fisheries, social compliance, manufacturing, construction and mineral mining. They enable information associated with a product and/or production characteristics to be shared among various organizations active in the chain of custody such as material and ingredient suppliers, processors, contractors, transportation companies, (private or regulatory) scheme owners, financial institutions, companies active in refurbishing and recycling, governmental organizations, end customers, and consumers or other end users.

Although these many systems differ in scope and use terminology relevant to the sector and product-specific needs, and might also diverge on semantics and presentation, they deal with the same challenges and are based on the same range of chain of custody models. The proliferation of systems and definitions causes unnecessary confusion, complexity and inconsistency. It also reduces the degree of trustworthiness of information (e.g. related claims) and increases costs for organizations active in the chain of custody. These complexities and resulting costs can be a barrier to market access, especially for smaller companies and developing countries.

iTeh Standards
(https://standards.iteh.ai)
Document Preview

The aim of this document is to provide

— unambiguous definitions of the different chain of custody models, and

— the corresponding requirements, which are independent of sectors, materials, products, and issues addressed.

https://standards.iteh.ai/catalog/standards/iso/34b88eb9-49a3-40a7-a59e-28edfe859580/iso-22095-2020

These requirements are applicable to any organization operating at any step in the supply chain. Chain of custody models are also referred to as "chain of custody methods" or "chain of custody concepts". In this document, the term "chain of custody models" is used to describe the approach taken to control inputs and outputs and associated information in a particular chain of custody system. This multi-sector globally applicable International Standard serves as a reference point for existing and future commodity or sector specific chain of custody standards.

As each chain of custody model represents a different level of physical presence of the specified characteristic in the output, this document provides general guidance on the application of the defined chain of custody models, including initial guidance on the circumstances under which each chain of custody model might be appropriate.

This document does not specify or recommend a management system. Users can refer to this document, clearly stating which models of chain of custody described in this document are used as a basis in their chain of custody systems.

© ISO 2020 – All rights reserved

iTeh Standards
(https://standards.iteh.ai)
Document Preview

ISO 22095:2020
https://standards.iteh.ai/catalog/standards/iso/34b88eb9-49a3-40a7-a59e-28edfe859580/iso-22095-2020